FY07 Budget Formulation
FEA Reference Model Revision Summary

June 2005

Table of Contents

1   Introduction

The Federal Enterprise Architecture (FEA) provides a common framework to assist agencies in better managing their information resources to improve mission performance. The FEA is comprised of five reference models:

- Business Reference Model (BRM);

- Performance Reference Model (PRM);

- Service Component Reference Model (SRM);

- Technical Reference Model (TRM); and

- Data Reference Model (DRM).

For more information about the FEA Program Management Office (PMO), refer to the "2005-2006 FEA PMO Action Plan" posted on www.egov.gov.

While the FEA reference models have been completed, they are to be updated in the spring, if changes are needed, to support the annual budget process and to ensure they continue to serve as effective tools for IT resource management. To improve the integration of the reference models and to streamline delivery of information to agencies, a Consolidated Reference Model (CRM) document combining the reference models into a single document is being developed and will be released by June.

The purpose of this document is to highlight the changes made to the reference models since the fiscal year 2006 (FY06) budget process. Although there were minor edits to the reference models for the FY06 budget process, new versions of the reference models were not released. Instead a document depicting the changes was provided to agencies as they prepared their budget submissions. The reference model changes outlined in this document are in support of the fiscal year 2007 (FY07) capital planning and budget process and should be reflected in agencies' submissions to the Office of Management and Budget (OMB).

2   Overview

The revisions to the reference models are made based on

- Work products from two of the Line of Business (LoB) Task Force Initiatives [e.g., BRM updates for "Health" and "Human Resources Management" (HR)];

- Agency input submitted to the FEA PMO (e.g., clarification of Service Component definitions); and

- Agency FY06 Exhibit 300 submissions (e.g., new Service Components were identified).

The revisions identified in this document are the major reference model changes requiring review and acceptance. Minor textual change and updates (i.e. grammar, spelling, etc.) are not included in this document. An overview of the changes is provided in Table 1.

Table 1: FY07 Reference Model Changes

Reference Model	Change

BRM	• There are significant Sub-function updates for the following LoBs
	
	    o Health; and
	
	    o HR.
	
	• Clarified definitions for
	
	    o Agricultural Innovation and Services (Sub-function);
	
	    o Security Management (Sub-function); and
	
	    o Information and Technology Management (LoB).
	
	• To simplify the budget formulation process, "cross-agency" designations for LoBs and Sub-functions in the "Support Delivery of Services" and "Management of Government Resources" Business Areas were removed.

PRM	• To clarify the PRM and ensure consistency, "Sample Generic Measurement Indicator Grouping" was renamed to "Measurement Grouping," and it is now recognized as its own level in the PRM. • The "Measurement Groupings" were updated to reflect the Sub-function changes to the BRM. • Linking the PRM and the Program Assessment Rating Tool (PART) is a strategic initiative for the FEA PMO, but will not be completed before agency budget submissions to OMB.

SRM	• Renamed "Case/Issue Management" to "Case Management."
	
	• Introduced two new Service Components
	
	    o Issue Tracking; and
	
	    o Voice Communications.
	
	• Clarified definitions for
	
	    o Back Office Services (Service Domain);
	
	    o Data Exchange (Service Component); and
	
	    o Partner Relationship Management (Service Component).

TRM	There are no changes to the TRM for the FY07 budget process.
DRM	The DRM is being revised, but will not be completed before agency budget submissions to OMB.

For more information or if there are any questions, please contact the FEA PMO at fea@omb.eop.gov.

3   Business Reference Model (BRM)

The BRM provides a framework that facilitates a functional (rather than organizational) view of the Federal government's LoBs, including its internal operations and its services for citizens, independent of the agencies, bureaus and offices that perform them. The BRM thus promotes agency collaboration and serves as the underlying foundation for E-Government.

Because the Sub-functions in the BRM provide more detail about a LoB, each Sub-function is mapped to only one LoB. For the FY07 budget process, the Sub-functions under the "Health" and "Human Resources Management" LoBs were updated to reflect the work done by the LoB Task Force Initiatives, additional LoB and Sub-function definitions also were clarified, and the "cross-agency" designation for LoBs and Sub-functions in the "Support Delivery of Services" and "Management of Government Resources" Business Areas were removed.

3.1   Health LoB

The "Health" LoB involves federal programs and activities to ensure and provide for the health and well being of the public. This includes the direct provision of health care services and immunizations as well as the monitoring and tracking of public health indicators for the detection of trends and identification of widespread illnesses/diseases. It also includes both earned and unearned health care benefit programs.

3.1.1   Revised Sub-functions

Table 2 below depicts the changes made to the Sub-functions under the "Health" LoB. The BRM codes are also provided for reference. The complete list of FY07 BRM codes are provided in a separate appendix document.

Table 2: Health LoB Updates	
Existing Sub-functions	• Access to Care (217)
New Sub-functions	• Population Health Management and Consumer Safety (246) • Health Care Administration (247) • Health Care Delivery Services (248) • Health Care Research and Practitioner Education (249)
Deleted Sub-functions	• Population Health Management (218) • Health Care Services (031) • Health Advancement (219) • Consumer Health and Safety (032)

3.1.2   Revised Definitions

All of the definitions for the "Health" Sub-functions have been updated. The new definitions are provided below:

- **Access to Care** – focuses on the access to appropriate care. This includes streamlining efforts to receive care; ensuring care is appropriate in terms of type, care, intensity, location and availability; providing seamless access to health knowledge, enrolling providers; performing eligibility determination, and managing patient movement.

- **Population Health Management and Consumer Safety** – assesses health indicators and consumer products as a means to protect and promote the health of the general population. This includes monitoring of health, health planning, and health management of humans, animals, animal products, and plants, as well as tracking the spread of diseases and pests. Also includes evaluation of consumer products, drug, and foods to assess the potential risks and dangers; education of the consumer and the general population; and facilitation of health promotion and disease and injury prevention.

- **Health Care Administration** – assures that federal health care resources are expended effectively to ensure quality, safety, and efficiency. This includes managing health care quality, cost, workload, utilization, and fraud/abuse efforts.

- **Health Care Delivery Services** – provides and supports the delivery of health care to its beneficiaries. This includes assessing health status; planning health services; ensuring quality of services and continuity of care; and managing clinical information and documentation.

- **Health Care Research and Practitioner Education** – fosters advancement in health discovery and knowledge. This includes developing new strategies to handle diseases; promoting health knowledge advancement; identifying new means for delivery of services, methods, decision models and practices; making strides in quality improvement ; managing clinical trials and research quality; and providing for practitioner education.

3.2 HR LoB

The "HR" LoB involves all activities associated with the recruitment and management of personnel.

3.2.1 Revised Sub-functions

Table 3 below depicts the changes made to the Sub-functions under the "HR" LoB. The BRM codes are also provided for reference. For the deleted "HR" Sub-functions, both the BRM codes representing agency-specific "HR" activities and cross-agency "HR" activities are provided (respectively) in the table below. The complete list of FY07 BRM codes are provided in a separate appendix document.

Table 3: HR LoB Updates	
Existing Sub-functions	• Labor Relations (228)
New Sub-functions	• HR Strategy (250) • Staff Acquisition (251) • Organization and Position Management (252) • Compensation Management (253)

Table 3: HR LoB Updates
<table><tr><td></td><td>• Benefits Management (254) • Employee Development and Performance Management (255) • Employee Relations (256) • Separation Management (257)</td></tr><tr><td>**Deleted Sub-functions**</td><td>• Applicant Intake and Recruiting (222; 235) • Benefit Administration (225; 238) • Discipline and Grievance (226; 239) • Evaluation (230; 243) • Payroll Management and Expense Reimbursement (132; 195) • Personnel Action Processing (231; 244) • Position Classification and Management (220; 233) • Pre-employment (223; 236) • Random Drug Testing (227; 240) • Reporting and Metrics (232; 245) • Security Clearance Management (134; 197) • Time and Labor Distribution (229; 242) • Training Management (224; 237) • Vacancy Tracking (221; 234)</td></tr></table>

3.2.2 Revised Definitions

All of the definitions for the "HR" Sub-functions have been updated. The new definitions are provided below:

- **HR Strategy** – develops effective human capital management strategies to ensure federal organizations are able to recruit, select, develop, train, and manage a high-quality, productive workforce in accordance with merit system principles. This sub-function includes: conducting both internal and external environmental scans; developing human resources and human capital strategies and plans; establishing human resources policy and practices; managing current and future workforce competencies; developing workforce plans; developing succession plans; managing the human resources budget; providing human resources and human capital consultative support; and measuring and improving human resources performance.

- **Staff Acquisition** – establishes procedures for recruiting and selecting high-quality, productive employees with the right skills and competencies, in accordance with merit system principles. This sub-function includes: developing a staffing strategy and plan; establishing an applicant evaluation approach; announcing the vacancy, sourcing and evaluating candidates against the competency requirements for the position; initiating pre-employment activities; and hiring employees.

- **Organization and Position Management** – designs, develops, and implements organizational and position structures that create a high-performance, competency-driven framework that both advances the agency mission and serves agency human capital needs.

- **Compensation Management** – designs, develops, and implements compensation programs that attract, retain and fairly compensate agency employees. In addition, designs, develops, and implements pay for performance compensation programs to recognize and reward high performance, with both base pay increases and performance bonus payments. This sub-function includes: developing and implementing discretionary, alternative, and non-discretionary compensation programs; administering bonus and monetary awards programs; administering pay changes; managing time, attendance, leave and pay; and managing payroll.

- **Benefits Management** – designs, develops, and implements benefit programs that attract, retain and support current and former agency employees. This sub-function includes: establishing and communicating benefits programs; processing benefits actions; and interacting as necessary with third party benefits providers.

- **Employee Development and Performance Management** – designs, develops, and implements a comprehensive employee development approach to ensure that agency employees have the right competencies and skills for current and future work assignments. Designs, develops, and implements a comprehensive performance management strategy that enables managers to make distinctions in performance and links individual performance to agency goal and mission accomplishment. This sub-function also includes conducting employee development needs assessments; designing employee development (e.g., training) programs; administering and delivering employee development programs; managing employee performance; and evaluating the overall effectiveness of the agency's employee development approach.

- **Employee Relations** – designs, develops, and implements programs that strive to maintain an effective employer-employee relationship that balance the agency's needs against its employees' rights. This sub-function includes: addressing employee misconduct; addressing employee performance problems; managing administrative grievances; providing employee accommodation; administering employees assistance programs; participating in administrative third party proceedings; and determining candidate/employee suitability based on information collected outside of the HR process (e.g., background investigation, drug testing, etc.).

- **Labor Relations** – manages the relationship between the agency and its unions and bargaining units. This includes negotiating and administering labor contracts and collective bargaining agreements; managing negotiated grievances; and participating in negotiated third party proceedings.

- **Separation Management** – conducts efficient and effective employee separation programs that assist employees in transitioning to non-Federal employment; facilitates the removal of unproductive, non-performing employees; and assists employees in transitioning to retirement.

3.3 Natural Resources LoB

The "Natural Resources" LoB includes all activities involved in conservation planning, land management, and national park/monument tourism that affect the nation's natural and recreational resources, both private and federal. Note: Energy-related natural resources are covered in the Energy Management Line of Business.

Revisions were made to the definition of the "Agricultural Innovation and Services" Sub-function in this LoB. Table 4 below depicts the changes. Revisions are presented in bold italics.

Table 4: Natural Resources LoB Updates	
Sub-function	**Definition**
Agricultural Innovation and Services	Involves the creation ***and dissemination*** of better methods for farming ***and forestry, including*** the ***~~dissemination~~ development*** of ***improved and healthier agricultural and forestry products ~~those methods to farmers, and the development of better and healthier crops~~***.

3.4 Administrative Management LoB

The "Administrative Management" LoB involves the day-to-day management and maintenance of the internal infrastructure.

Revisions were made to the definition of the "Security Management" Sub-function in this LoB. Table 5 below depicts the changes. Revisions are presented in bold italics.

Table 5: Administrative Management LoB Updates	
Sub-function	**Definition**
Security Management	Involves the physical protection of an organization's personnel, assets, and facilities ***(including security clearance management). Note: Activities related to securing data and information systems is addressed under the "IT Security" Sub-function.***

3.5 Information and Technology Management LoB

The "Information and Technology Management" LoB involves the coordination of information and technology resources and systems required to support or provide a service.

Revisions were made to the definition of "Information and Technology Management." Table 6 below depicts this change. Revisions are presented in bold italics.

Table 6: Information and Technology Management LoB Updates	
LoB	**Definition**
Information and Technology Management	Involves the coordination of information ***and*** technology resources and systems required to support or provide a ***~~citizen~~*** service.

3.6 "Cross-Agency" LoBs

To simplify the budget formulation process, the FEA PMO is removing the distinction between "agency-specific" and "cross-agency" LoBs and Sub-functions in the "Support Delivery of

Services" and "Management of Government Resources" Business Areas. Thus, for purposes of generating the primary BRM mapping for an IT investment, there will be only one set of BRM codes. *This change has no impact on the structure or elements of the reference model. This change only affects the codes agencies use to generate their unique project identifier (UPI).*

As depicted in the BRM, the "General Government" LoB and its related Sub-functions will remain under the "Support Delivery of Services" Business Area, and they will retain their current BRM codes. An updated list of all the valid BRM codes for the FY07 budget process are provided in a separate appendix document.

4   Performance Reference Model (PRM)

The PRM is a framework to measure the performance of major IT investments and their contribution to program performance. It enables agencies to better manage the business of government at a strategic level while providing a means for using an agency's enterprise architecture (EA) to measure the success of information technology investments.

4.1 PRM Structure

The PRM has also been updated to ensure the explanations and terms are consistent and clear. For example, the term "Sample Generic Measurement Indicator Grouping" was renamed to "Measurement Grouping" to simplify the name. In addition, because the PRM has always provided values for Measurement Grouping and used them to categorize Measurement Indicators, Measurement Grouping is now recognized as its own level in the PRM. There is now a distinction between Measurement Grouping and Measurement Indicator to minimize confusion on how they should be used. The revised PRM structure is depicted in Figure 1. While the structure has been modified, the content in the PRM has not changed significantly since Measurement Groupings already currently exist in the PRM.

Figure 1: Revised PRM Structure
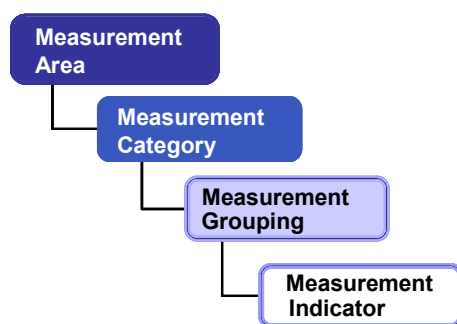
4.2 Mission and Business Results Measurement Area

Because the Management Groupings under the "Mission and Business Results" Measurement Area are based on the BRM Sub-functions, the Management Groupings for the "Health" and "HR" Measurement Categories were updated to reflect the recent BRM Sub-function changes for the FY07 budget process.

Table 7 depicts the valid Measurement Groupings for the "Mission and Business Results" Measurement Area. Definitions for the Measurement Groupings and additional information on which ones were added or removed, refer to section 3.

Table 7: Mission and Business Results Measurement Area Updates	
Measurement Category	**Measurement Grouping**
Health	• Access to Care • Population Health Management and Consumer Safety • Health Care Administration • Health Care Delivery Services • Health Care Research and Practitioner Education
HR	• HR Strategy • Staff Acquisition • Organization and Position Management • Compensation Management • Benefits Management • Employee Development and Performance Management • Employee Relations • Labor Relations • Separation Management

5   Service Component Reference Model (SRM)

The SRM is a business-driven, functional framework classifying Service Components with respect to how they support business and performance objectives. It serves to identify and classify horizontal and vertical Service Components supporting federal agencies and their IT investments and assets. The model aids in recommending service capabilities to support the reuse of business components and services across the Federal government.

For the FY07 budget process, minor revisions were made to the SRM based on agency input sent to the FEA PMO and from the FY06 Exhibit 300 submissions.

5.1   Customer Services Domain

The "Customer Services" Domain defines the set of capabilities directly related to an internal or external customer, the business's interaction with the customer, and the customer-driven activities or functions. The "Customer Services" Domain represents those capabilities and services at the front end of a business and interface at varying levels with the customer.

Revisions were made to the definitions for the "Partnership Relationship Management" Service Component in this domain. Table 8 below depicts this change. Revisions are presented in bold italics.

Table 8: Customer Services Domain Updates		
Service Type	**Service Component**	**Definition**
Customer Relationship Management	Partner Relationship Management	Provide a framework to promote the effective collaboration between an organization and its business partners, particularly members of the distribution chain (e.g., channel and alliance partners, resellers, agents, brokers, and dealers) and other third parties that support operations and service delivery to an organization's customers; *includes performance evaluation of partners, if necessary*.

5.2 Process Automation Services Domain

The "Process Automation Services" Domain defines the set of capabilities supporting the automation of process and management activities to assist in effectively managing the business. The Process Automation Services domain represents those services and capabilities serving to automate and facilitate the processes associated with tracking, monitoring, and maintaining liaison throughout the business cycle of an organization.

The "Case/Issue Management" Service Component was renamed to minimize confusion between this Service Component and the new "Issue Tracking" Service Component (refer to section 5.4). Table 9 depicts this change.

Table 9: Process Automation Services Domain Updates		
Service Type	**Service Component**	**New Service Component Name**
Tracking and Workflow	Case / Issue Management	Case Management

5.3 Back Office Services Domain

The "Back Office Services" Domain defines the set of capabilities supporting the management of enterprise planning and transactional-based functions.

Revisions were made to the definitions for the "Back Office Services" Domain and the "Data Exchange" Service Component in this domain. Table 10 depicts these changes. Revisions are presented in bold italics.

Table 10: Back Office Services Domain Updates	
Service Domain	**Definition**
Back Office Services	Defines the set of capabilities that support the management of enterprise planning *and* transactional-based functions.

Service Type	Service Component	Definition
Data Management	Data Exchange	Support the interchange of information between multiple systems or applications; ***includes verification that transmitted data was received unaltered***.

5.4 Support Services Domain

The "Support Services" Domain defines the set of cross-functional capabilities independent of Service Domain objective and/or mission.

New Service Components were added to this domain. They are listed in Table 11.

Table 11: Support Services Domain Updates		
Service Type	**New Service Component**	**Definition**
Communications	Voice Communications	Provide telephony or other voice communications.
Systems Management	Issue Tracking	Receive and track user-reported issues and problems in using IT systems, including help desk calls.